



Instructions for Completing the Permit Application for Waste Transportation

Use these instructions to: 1) complete the permit application form DEP-WEED-APP-400 and 2) prepare supporting documents. These instructions are not a substitute for the requirements of the relevant statutes and any regulations thereunder. You should review all applicable laws prior to completing this application. Remember, it is your responsibility to comply with all applicable laws.

Introduction

This permit program, administered by the Bureau of Waste Management of the Department of Environmental Protection (DEP), regulates the transportation of waste oil, petroleum, chemical liquids, hazardous waste, or biomedical waste.

Who Needs a Permit?

Hazardous Waste Transporter

Any person who is either

- transporting hazardous waste regulated under the Resource Conservation and Recovery Act (RCRA),
- in the business of transporting, in or through the State of Connecticut, waste oil, petroleum, chemical liquids or hazardous waste as defined in Section 22a-448 of the Connecticut General Statutes (CGS), or
- acting as a spill contractor in the State of Connecticut

must apply for a hazardous waste transporter permit pursuant to CGS Section 22a-454 with the following exceptions.

1. A hazardous waste transporter permit is not required for generators of RCRA hazardous waste if *all* of the following apply:
 - a. generators of such waste transport their own waste via their own equipment; and

- b. the waste to be transported amounts to a total of less than 1000 kilograms (kg) of RCRA hazardous waste in a calendar month; and
- c. the waste is transported to an off-site facility within the State of Connecticut; and
- d. the generator has either a RCRA hazardous waste permit from DEP or the generator is operating under interim status pursuant to Sections 22a-449(c)-100 through 110 and 22a-449(c)-11 of the Regulations of Connecticut State Agencies (RCSA).

2. A hazardous waste transporter permit is not required for generators of non-RCRA hazardous waste who transport their own non-RCRA hazardous waste to an off-site facility via their own equipment.

Contact the Bureau of Waste Management at 860-424-3372 for questions regarding hazardous waste transporter permits.

Spill Clean-up Contractor

Any person seeking to act as a contractor to contain or remove or otherwise mitigate the effects of discharge, spillage, uncontrolled loss, seepage or filtration of waste oil, petroleum, chemical liquids, hazardous waste, or biomedical waste must obtain a spill contractor permit prior to engaging in such activity.

Biomedical Waste Transporter

Any person interested in doing business as a transporter of biomedical waste must apply for a biomedical waste transporter permit, pursuant to RCSA Section 22a-209-15(g) and Section 259.72 of the Code of Federal Regulations (CFR) with the following exception:

A biomedical waste transporter permit is not required for generators of biomedical waste who transport their own biomedical waste from its original generation point to a central collection point. Please refer to RCSA Section 22a-209-15(g)(14) for exemption requirements.

Contact the Bureau of Waste Management at 860-424-3366 for questions regarding biomedical waste transporter permits.

Permit Renewals

A permitted *hazardous waste transporter* must apply for renewal of its existing permit by submitting a sufficient permit application no later than *March 1* of the year their permit expires. A permitted *biomedical waste transporter* must apply for renewal of its existing permit by submitting a sufficient permit application at least *ninety days prior to the expiration date* of the existing permit.

If your application is or may be untimely, please refer to CGS Section 22a-6j. If a renewal application is not submitted prior to the expiration date of the existing permit, then the existing permit is deemed to have expired.

Permit Modifications

If you are applying for a *permit modification*, you must have a valid transporter permit. To determine whether a permit modification is necessary, please provide the Waste Engineering and Enforcement Division (WEED), in writing, specific details regarding the type of modification proposed. Such information should be sent to:

ENGINEERING AND ENFORCEMENT DIVISION
BUREAU OF WASTE MANAGEMENT
DEPARTMENT OF ENVIRONMENTAL PROTECTION
79 ELM STREET
HARTFORD, CT 06106-5127

After receipt and review of the proposed modification, WEED will notify you if a completed permit application is required to be submitted.

Permit Transfers

Any person proposing to transfer a DEP permit must submit a completed *Permit Transfer Form* (DEP-APP-006) and transfer fee to DEP. The Permit Transfer Form may be used for changes in owners and operators of the licensed activity; if other changes are proposed to the facility, the site, or facility operations, the proposed transferee must also request a permit modification. In some cases, permit modifications may require submittal of parts of or up to an entire individual permit application. For further information concerning permit transfers or to obtain a Permit Transfer Form, please contact the Permit Assistance Office at 860-424-3003. For further information concerning modifications, please contact the Bureau of Waste Management at 860-424-3372.

How to Apply

Your permit application must include the following:

- A *Permit Application Transmittal Form* (DEP-APP-001),
- A *Permit Application for Waste Transportation* (DEP-WEED-APP-400) and all supporting documents,
- The applicable initial fee, paid by check or money order, made payable to the "Department of Environmental Protection".

Note: The initial fee is the total permit application fee due.

You must submit the above materials together as a package to:

When submitting your permit application, label your supporting documents as directed on your application form and always include, on each document, the applicant's name as indicated on the *Permit Application Transmittal Form*. When additional space is necessary to answer a question stated in the application, please insert additional sheets by the appropriate question. Label each sheet with the applicant's name as indicated on the *Permit Application Transmittal Form*, along with the corresponding part number and question number indicated on the permit application form. You should retain a copy of all documents for your files.

Permit Application Instructions

(DEP-WEED-INST-400)

Please read the application form and instructions carefully. They have been designed to obtain specific information and any information that is missing or unclear will cause delays in the review process. If any questions are not applicable to your specific activity, please enter "N/A" in the space provided. If a question or supporting document is only required for specific activities it will be noted on the application form and in the instructions.

Please be advised that these instructions are not a substitute for any state or federal statutes or regulations. Be sure to refer to the applicable statutes and regulations while completing your application.

Check the "Available Resources" section at the end of these instructions for assistance in obtaining guidelines, maps, etc. which are referenced in these instructions.

Part I: Application Type

Please indicate whether you are applying for a *new* permit or a *renewal* of an existing permit by checking the appropriate box. A permit is deemed to be "existing" *only* if it has not yet expired on the date you file your application. If applicable, please provide the existing permit number, EPA I.D. number, and the U.S. DOT number.

All persons transporting RCRA hazardous waste must receive an EPA Identification Number pursuant to RCRA Section 22a-449(c)-103. Please contact the Bureau of Waste Management at 860-424-3372 for information regarding EPA Identification Numbers. EPA Identification Numbers are not needed for transportation of non-RCRA hazardous wastes or biomedical wastes.

Part II: Permit Type and Fee Information

Please check the appropriate box for *each* permit type for which you are applying. Note that the fees listed on the form reflect increases that were effective August 21, 2003.

- ***Hazardous Waste Transporter Permit:*** for transportation of any RCRA hazardous and/or non-RCRA hazardous waste.

RCRA hazardous wastes are defined as hazardous waste under the Resource Conservation and Recovery Act (RCRA) and are identified in Title 40 of the Code of Federal Regulations (CFR) Part 261. RCRA hazardous wastes are regulated in Connecticut pursuant to RCRA Section 22a-449(c)-100 through 110 and Section 22a-449(c)-11.

Non-RCRA hazardous wastes include waste oils or petroleum or chemical liquids and hazardous waste which are not regulated by Connecticut Hazardous Waste Management Regulations. Additional information on Non-RCRA hazardous waste may be obtained from the "Non-RCRA

Hazardous Wastes (Connecticut Regulated Wastes)" fact sheet which is available at <http://www.dep.state.ct.us/pao/weedfact/nonrcrafts.pdf>

The hazardous waste transporter permits may be issued for one, two, three, or four-year durations. You must indicate which you are applying for by selecting the appropriate box on the form.

- **Spill Contractor Permit:** All spill contractors must apply for a one year hazardous waste transporter permit as well as a spill contractor permit. A spill contractor permit application is incorporated as Attachment J of the *Permit Application for Waste Transportation*.
- **Biomedical Waste Transporter Permit:** for transportation of any biomedical waste. Biomedical waste is defined in CGS Section 22a-207 and includes infectious waste, pathological waste and chemotherapy waste and is regulated pursuant to RCSA Section 22a-209-15.

The total fee(s) as shown on the application form must be submitted with the application. If the applicant is a municipality, the 50 percent fee discount applies. DEP will not process an application unless the required fees have been paid.

Part III: Applicant Information

When completing this part, please use the following standards:

- **Name** - Provide the full, legal *company/firm* name. (If identifying an entity registered with the Secretary of the State, fill in the name exactly as it is shown on the registration.) If identifying an *individual*, provide the full legal name (include title and suffix) in the following format: Title (Ms, Dr, etc.); First Name; Middle Initial; Last Name; Suffix (Jr, PE, PhD, etc.).
- **Phone** - Unless otherwise indicated, the phone number provided should be the number where the

individual can be contacted during daytime business hours.

- **Contact Person** - Provide the name of the specific individual within the company whom DEP may contact.
1. **Applicant** - Fill in the applicant's name and phone number exactly as it appears on the *Permit Application Transmittal Form*. If applicable, also provide the company name, the Federal Employee Identification Number (FEIN) and the location address, if different than the mailing address.
 2. **Primary Contact** - If you have authorized a consultant, engineer, attorney or other individual to act for you during the processing of the permit application, complete this section. DEP will direct copies of all correspondence and inquiries to this primary contact.
 3. **Attorney** - It is not required that an applicant be represented by an attorney or any other agent. If you do have an attorney, complete this section.
 4. Fill in the name(s), mailing address(es), and phone number(s) of the legal owner(s) of the facility.

Check the appropriate box to identify the type of owner of the facility. If the owner is a corporation, please answer question 4a.

- a. Identify the city, state and date of incorporation.
 - b. List the names, titles and addresses of all corporate officers.
5. Indicate by checking yes or no, whether the applicant or owner(s) stated in item 4, including all partners and corporate officers, engage in other activities or own other companies that transport, treat, store, recover, or dispose of oil and chemical waste, hazardous waste, and/or

biomedical waste. If so, identify the owners of such companies or activities, the name of the company, the company address and the type of activities performed.

Part IV: Activity or Company Information

1. Please check the appropriate box to identify each type of waste the applicant is transporting or proposes to transport.
2. Indicate by checking yes or no, whether transfers of wastes from one vehicle to another or one mode of transport to another will be conducted at places other than at the applicant's terminal.
3. Indicate by checking yes or no, whether the transporter is a generator of hazardous waste who transports 1,000 kilograms (kg) or greater of their own hazardous waste in a calendar month to an off-site facility.
4. Identify the number of terminals the applicant operates in Connecticut.
 - a. List the name of each terminal manager and the address and phone number of each terminal.
5. Check the appropriate boxes to verify that the following driver training requirements have been met:
 - a. All drivers must be trained in proper emergency response for the types of wastes transported in accordance with RCSA Sections 22a-449(c)-100 through 110 and 22a-449(c)-11. Such training shall include at a minimum:
 - spill reporting requirements for Connecticut;
 - required safety equipment and use;
 - first aid in the event of accidents with the waste being transported;
 - hazards involved with loading and unloading;
 - a working knowledge of the shipping papers and terms involved;
 - a working knowledge of the physical and chemical properties of the waste being transported; and
 - emergency procedures for the waste being transported.
6. Indicate by checking yes or no, whether or not you wish to be put on a public list of permitted transporters which may be distributed upon request.
 - b. All drivers engaged in the transportation of wastes which are classified as hazardous materials as defined in the Hazardous Materials Regulations given in Title 49 of the Code of Federal Regulations (49 CFR) must be in compliance with all the applicable requirements given in Parts 171 and 172 of 49 CFR.
 - c. Employers/Employees engaged in emergency response as defined in Title 29 CFR 1910.12(a)(3) must be in compliance with all applicable requirements of the regulations developed by the Occupational, Safety and Health Administration cited in Title 29 CFR.

Part V: Supporting Documents

All permit applications must include Attachments A through M, unless otherwise noted in these instructions. Place a check mark in the appropriate box by each applicable attachment as verification that all applicable attachments have been submitted. Please label all attachments as referenced in the permit application form and these instructions and be sure to include the name of the applicant as indicated on the *Permit Application Transmittal Form*.

Attachment A: List of Transporter Permits Held in Other States (DEP-WEED-APP-401)

Submit as Attachment A on the form provided by DEP, a list of all permits held by the applicant in other states for the transportation of regulated wastes.

Please identify the type of permit, the state that issued the permit, the permit number and the expiration date.

Attachment B: Vehicle List (DEP-WEED-APP-402)

Submit as Attachment B on the form provided by DEP, a list of vehicles (tractors and trailers) intended to be used for the transportation of waste in or through the State of Connecticut. If the vehicles you intend to use have separate motorized and waste carrying sections (i.e., tractor/trailer), then list the required information on both sections of the vehicle. Enter N/A for capacity if the vehicle is a motorized section (i.e., tractor).

In the "Type" column, indicate if the vehicle is a tractor, dump trailer, box trailer, tank trailer, vacuum trailer, straight tanker, straight vacuum, straight box, straight dump, van, rack, pick-up, etc., as appropriate.

In the "Capacity" column, indicate:

- the volume of any tank in gallons;
- the volume of any dump body in cubic yards;
- the capacity of any other vehicle in number of containers (e.g., 55 gallon drums) or other appropriate units;

Be sure to specify the units (i.e., gallons, cubic yards, drums) in this column also.

In the "Address" column, indicate the address where each vehicle is most frequently garaged, or if not garaged at any fixed location, the garage(s) the vehicle most frequently leaves from and returns to at one or more points in the normal course of

operations.

In the "Owner" column, indicate the name of the owner as it appears on the title of each vehicle.

In the "Dedicated Vehicle" column, indicate if the vehicle is dedicated to the transportation of non-RCRA hazardous wastes, RCRA hazardous waste, or biomedical wastes. If you enter "No" for a vehicle, attach a separate sheet identifying the material transported in that particular vehicle and identify the vehicle by listing the state the vehicle is registered in and the vehicle license plate number.

Attachment C: Vehicle Inspection Information

Submit as Attachment C, vehicle inspection information which includes documentation (i.e., inspection reports) that verifies each vehicle registered in Connecticut currently meets the DOT inspection requirements pursuant to 49 CFR 396.17(a) and 396.19.

In addition, include in Attachment C documentation that verifies each tank vehicle registered in Connecticut has been successfully inspected by the local fire marshal.

Attachment D: Certification of Insurance

Submit as Attachment D, certification of insurance which includes:

- an original Certificate of Insurance listing the Connecticut Department of Environmental Protection, Bureau of Waste Management, 79 Elm Street, Hartford, CT 06106-5127 as a certificate holder; and
- a MCS-90 Endorsement to the policy(ies) identified on the Certificate of Insurance to verify that the applicant has met the minimum levels of financial responsibility as required by 49 CFR Part 387.

Attachments E1, E2, E3: List of Wastes

Submit as Attachment E1, E2, and/or E3, on the forms provided by DEP, the list of wastes you intend to transport.

Attachment E1 must be submitted if you intend to transport non-RCRA hazardous waste;

Attachment E2 must be submitted if you intend to transport RCRA hazardous waste;

Attachment E3 must be submitted if you intend to transport biomedical waste.

In Attachment E1 (DEP-WEED-APP-403) identify the non-RCRA hazardous waste you intend to transport by listing the following: the waste number, if applicable; the waste name; the source or process generating the waste; the physical and chemical characteristics of the waste (e.g., toxicity, ignitability, corrosiveness); the waste management facility(ies) to which the waste will be transported and which is authorized to accept the waste type; and the waste management facility's management method for the waste type. If there is more than one waste management facility to which the waste will be transported or if there is more than one waste management method, please list these on the form. Non-RCRA hazardous waste numbers may be obtained from the "Non-RCRA Hazardous Wastes (Connecticut Regulated Wastes)" fact sheet which is available at

<http://www.dep.state.ct.us/pao/weedfact/nonrcrafs.pdf>

In Attachment E2 (DEP-WEED-APP-404) identify the RCRA hazardous waste you intend to transport by listing the following: the EPA waste number, the waste name, the source or process generating the waste; the physical and chemical characteristics of the waste; the waste management facility to which the waste will be transported to and which is authorized to accept the waste type; and the waste management facility's management method for the waste type. The EPA waste number may be obtained from Title 40

CFR Part 261.

In Attachment E3 (DEP-WEED-APP-405) identify the biomedical waste you intend to transport by listing the type of waste and the facility name and address to which such waste will be transported.

Attachment F: Spill Control and Safety Equipment

Submit as Attachment F, a list all spill control equipment and safety equipment that will be carried on vehicles while transporting waste.

Recommended spill control equipment includes but is not limited to: drum plugs, sealant, overpack or salvage drum, 6 mil plastic liners, absorbent pillows or other absorbent material, shovel, pail, broom, and the current U.S. DOT Hazardous Materials Emergency Guide Book.

Recommended safety equipment includes but is not limited to: protective clothing (coveralls, chemical resistant suits, acid vapor suits), hard hats with face shields, respiratory protection, chemical-resistant gloves, goggles or eye protection, safety flashlight, fire extinguisher, first aid kit, eye wash kit, reflective triangles.

All spill control and safety equipment necessary for the containment of minor spills should be tailored to the types of waste being transported.

Attachment G: Spill Control Plan

Submit as Attachment G, a spill plan which includes a description of the actions that transporter personnel will take to contain and clean up both minor (i.e., leaking drum) and major (i.e., vehicle rollover) spill incidents. The description should be in a narrative form and should include:

- Safety precautions for transporter personnel;
- Notification of proper officials (including the Connecticut Department of Environmental

Protection Oil and Chemical Spill Section 860-424-3338 and State Police 860-685-8190;

- Spill containment procedures;
- Spill clean-up procedures; and
- Disposition of spill clean-up debris.

Attachment H: Driver Information

Submit as Attachment H, driver information which includes a list of the names, dates of birth and social security numbers of all drivers currently working for your company.

When new drivers are hired or employed, send an updated list with the permittee name and permit number to:

WASTE ENGINEERING AND ENFORCEMENT DIV.
BUREAU OF WASTE MANAGEMENT
DEPARTMENT OF ENVIRONMENTAL PROTECTION
79 ELM STREET, HARTFORD, CT 06106-5127

Attachment I: Vehicle Decontamination Procedures

Submit as Attachment I, vehicle decontamination procedures which include a written description of procedures used to clean tank and/bulk vehicles, and all vehicle decontamination procedures used to prevent the cross contamination of one material or waste by another material or waste transported by the same vehicle.

If the waste carrying portion(s) of the tank and/or bulk vehicles are decontaminated and/or cleaned in the State of Connecticut provide on a separate sheet: 1) the address(es) where such decontamination and/or cleaning is done; and 2) the disposal location of the decontamination and/or cleaning residuals and include such information with Attachment I.

Attachment J: Supplemental Application for Spill Clean-up Contractors (DEP-WEED-APP-406)

If you are applying for a Spill Contractor Permit, submit as Attachment J, on the form provided by DEP, a completed Spill Clean-up Contractor Application. Remember that if you are applying for a Spill Contractor Permit, you must also apply for a one year Hazardous Waste Transporter Permit.

Attachment K: Applicant Compliance Information

CGS Section 22a-6m provides for DEP review of an applicant's record of compliance with the environmental laws of Connecticut, any other state and the federal government. Under the law, DEP may consider the applicant's environmental compliance record, as well as the record of the applicant's principals and any parent companies or subsidiaries, when reviewing a permit application. All permit applications for activities not previously permitted by DEP must include a completed *Applicant Compliance Information Form* (DEP-APP-002) as Attachment K.

Attachment L: Operational Plan

An operational plan must be submitted as Attachment L, if you are applying for a Biomedical Waste Transporter Permit.

The Operational Plan must include, at a minimum, the following:

1. written procedures or instructions to avoid rupture of packaged wastes (e.g., avoid mechanical loading devices, etc. which may rupture packaged wastes);
2. written guidelines for the storage and transportation of biomedical waste. At a minimum, these guidelines must include the following:
 - a. All vehicle cargo compartments containing regulated medical wastes must be secured

and locked at anytime the vehicle is unattended;

- b. all vehicles must carry a spill containment and clean up kit (contingency plan) in the vehicle whenever medical wastes are conveyed.

- 3. Written plans and procedures described below and a list of equipment which will be included in the spill containment and clean up kit. The following minimum items must be included in a spill containment and clean up kit:

- a. written plans for disinfection of the vehicle and any contaminated surface if a leaking container is discovered;
- b. notification list with telephone numbers of individuals and/or agencies who are to be contacted in the event of a transportation accident. This list shall include the local police, or sheriff, local highway patrol, local health department and the DEP Solid Waste Division;
- c. a written plan for action that will be taken. This plan should address the clean-up and decontamination of potentially contaminated surfaces; designation of back-up transport for the medical wastes; a description of the plans for the re-packaging and labeling of medical wastes where containers are no longer intact;
- d. written procedures to be followed if a fire, theft or natural disaster occurs;
- e. written procedures for the management of a leaking container or container that has lost its integrity;
- f. written procedures for the correct management of a container or truckload of waste that is not accepted by the processing and/or disposal facility;

- g. a list of all protective clothing that will be included in the spill containment and clean up kit. The following must be included at a minimum:

- gloves and coveralls, per OSHA regulations 29 CFR 1910.132;
- utility gloves for maintenance/ housekeeping personnel;
- dust masks and eye protection when aerosols are expected;
- protective clothing that are liquid repellent when "infectious" liquids might be expected (e.g., blood and blood products); liquid repellent coveralls or lab coats; liquid repellent shoes.

Attachment M: Management Plan

A management plan must be submitted as Attachment M, if you are applying for a Biomedical Waste Transporter Permit.

The Management Plan must include the following:

- 1. policies and detailed procedures for the safe and effective management of medical waste;
- 2. provisions for contingencies in emergency situations;
- 3. procedures for making the entire plan available on site for public health and environmental officials, the public and clients;
- 4. type of medical waste that the commercial transporter handles;
- 5. transportation procedures for the medical waste;
- 6. list of disposal facilities that will be utilized in the disposal of medical waste;

7. steps taken to minimize exposure of employees to infectious agents throughout the process of transporting and/or disposing of medical waste;
8. names of the individuals responsible for the transportation and management of medical waste;
9. names/phone numbers of emergency coordinators and response procedures for emergency situations.

Part VII: Application Certification

After the application has been completed it must be reviewed and signed by both the applicant(s) and the individual(s) who actually prepared the application. By their signature, they certify that to the best of their knowledge and belief, the information contained in the application, including all attachments, is true, accurate and complete.

The certification of the application package must be signed as follows:

1. For an individual(s) or sole proprietorship: by the individual(s) or proprietor, respectively;
2. For a corporation: by a principal executive officer of at least the level of vice president;
3. For a limited liability company (LLC): a manager, if management of the LLC is vested in a manager(s) in accordance with the company's "Articles of Organization", or a member of the LLC if no authority is vested in a manager(s);
4. For a partnership: by a general partner;
5. For a municipal, state, or federal agency or department: by either a principal executive officer, a ranking elected official, or by other representatives of such applicant authorized by law.

An application will be considered insufficient unless all required signatures are provided.

Available Resources:

Below is a list of possible resources for specific information required for this application.

- Department of Transportation
Motor Transport - Permits
860-594-2878
- Department of Motor Vehicles
Motor Vehicle Inspections
860-566-4512
- "Non-RCRA Hazardous Waste"
Waste Engineering and Enforcement Division,
Bureau of Waste Management, Department of
Environmental Protection 860-424-3372
- EPA Waste Numbers (Waste Codes): State
Library and/or Office of the Federal Register
(202-783-3238), Title 40 Code of Federal
Regulations (CFR) Part 261 Subpart D.
- State and federal statutes and regulations are
available for review at various locations:

State Library (Hartford)

University of Connecticut Law School (Hartford)

Yale University Law School (New Haven)

Superior Courthouse Libraries (located
throughout the state)